

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

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## **Purpose**

To establish a procedure for the purchase of all equipment, supplies and services for the Department of Transportation.

## **Policy**

Purchases by the Utah Department of Transportation follow State of Utah Procurement Code 63-56; State Procurement Rules and Regulations, and Delegations provided to the Department by the State Chief Procurement Officer.

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---

## **Procedures**

### **Small Purchases**

**UDOT 05E-1.1**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. For purchases totaling \$500 or less, obtain the commodity or service from the best source. Upon receipt of the commodity or service, attach the vendor's invoice to a Payment Voucher (D1) and submit for payment.
4. For purchases totaling \$2,000 or less, complete a "Telephone Quotation Sheet" by obtaining at least two competitive telephone quotations. Obtain the commodity or service from the vendor who meets the specifications and quotes the best price. Upon receipt of the commodity or service, check to insure agreed upon specifications and pricing is met, then attach the "Telephone Quotation Sheet," and the vendor's invoice to a Payment Voucher (D1) and submit for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

## **Purchases Over \$2000**

**UDOT 05E-1.2**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. Prepare a Purchase Requisition (FI-82) form, obtain the appropriate approvals (For capital purchases, this includes budget approval, and the required State level approval ), and submit with the required specification to the Department Procurement Section.
4. If services or commodities are required where “the needs of the State are not completely clear, negotiations may be necessary and cost is just one of several criteria necessary to make a decision,” contact the Procurement Section to discuss possible use of a Request for Proposal or Two Step bid process.

### **PURCHASES OVER \$2,000**

NOTE: STATE LEVEL APPROVAL IS REQUIRED FOR PURCHASES OF THE COMMODITIES LISTED BELOW.

- A. Vehicles
- B. Data Processing Equipment and Services over \$2,000
- C. Telecommunications Equipment over \$2,000
- D. Printing Equipment
- E. Installments purchase or Lease purchases.

**Responsibility:** District/Region/Division/Section/Unit

5. Review the Purchase Requisition (FI-82) for completeness, accuracy, correct accounting information, and required approval signatures.

**Responsibility:** Procurement Section

6. Review the Purchase Requisition (FI-82) for correct commodity code usage and for compliance to the Utah Procurement Code. Then forward the Purchase Requisition (FI-82) to State Division of Purchasing for processing.

**Responsibility:** State Purchasing

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

7. In compliance with the Utah Procurement Code, and in conjunction with the Department of Transportation needs, procure items listed on the Purchase Requisition (FI-82). Distribute Purchase Order to Vendor and appropriate copies to the Transportation Department Procurement Section.

**Responsibility:** Procurement Section

8. Review the Purchase Order for completeness and accuracy, and forward the receiving information to the District/Division.

**Responsibility:** District/Region/Division/Section/Unit

9. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
10. Sign, date and forward all the receiving documentation to the Procurement Section.

**Responsibility:** Procurement Section

11. Review the receiving information for accuracy and completeness and forward to the Comptroller's Office for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

## **Departmental Contracts**

**UDOT 05E-1.3**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. Prepare a Purchase Requisition (FI-82) form stipulating a Departmental Contract is desired and submit the Purchase Requisition (FI-82) with required specifications to the Department Procurement Section

**Responsibility:** Procurement Section

4. Review the Purchase Requisition (FI-82) for completeness, accuracy, correct commodity code usage, correct accounting information, required approval signatures, and for compliance to the Utah Procurement Code.
5. Forward the Purchase Requisition (FI-82) to State Division of Purchasing for processing.

**Responsibility:** State Purchasing

6. In compliance with the Utah Procurement Code, and in conjunction with the Department of Transportation needs, solicit bids for the commodities or services listed on the Purchase Requisition (FI-82). Give notice of approval to proceed with Departmental Contract preparation to the Transportation Department Procurement Section.

**Responsibility:** Procurement Section

7. Prepare a Departmental Contract and forward to the Comptroller's Office for them to obtain the required signatures and to distribute to the appropriate District/Division.

**Responsibility:** District/Region/Division/Section/Unit

8. Purchase the material or service as defined in the contract and make payments according to the contract requirements. Refer to Statewide Policies and Procedures for Purchasing - Price Agreements - Purchases/Encumbrances.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

## **Other State Agencies**

**UDOT 05E-1.4**

APPROVED STATE PRODUCING/DISTRIBUTING AGENCIES ARE:

- Division of Surplus Property
- Division of Central Services
- Division of Correctional Industries

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. After obtaining required approvals, using correct accounting and commodity information, order directly from the producing/distributing agency.

**Responsibility:** Producing/Distributing Agency

4. Deliver the items to the ordering agency, and bill them with an Inter-Agency Transaction.

**Responsibility:** District/Region/Division/Section/Unit

5. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
6. Receive the Inter-Agency Transaction from the Producing/Distributing Agency and approve for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

## **Statewide Purchasing Contracts**

**UDOT 05E-1.5**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. For purchases less than \$2,500, obtain necessary approvals, then purchase the product or service from the State Contract Vendor.
4. For purchases more than \$2,500, forward a Purchase Sheet Form (T-81), complete with appropriate approvals, accounting information, and specifications, to the Procurement Section, except as noted below.

NOTE: For purchases of equipment rental or road material proceed with purchases according to Region approved signatures.

**Responsibility:** Procurement Section/Region

5. Purchase the item according to the State Contract terms and the Utah Procurement Code.

**Responsibility:** District/Region/Division/Section/Unit

6. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met and pricing is consistent with contract pricing.
7. Sign and date the receiving information.
8. Attach the completed receiving information, the invoice and a Payment Voucher (D1) and submit for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

## **Sole Source Purchases**

**UDOT 05E-1.6**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine the quantity and specification of the commodity or service needed.
2. Determine if adequate funding is available.
3. For purchases less than \$500, obtain the product from the sole source.
4. For purchases \$500-\$2,000, contact the Procurement Section for assistance and authorization in compliance with the Utah Procurement Regulation.
5. For purchases over \$2,000, prepare a Purchase Requisition (FI-82) form and submit with required specifications and sole source recommendation information to the Department Procurement Section.

**Responsibility:** Procurement Section

6. Review the Purchase Requisition (FI-82) for completeness, accuracy, correct commodity code usage, correct accounting information, required approval signatures, and for compliance to the Utah Procurement Code as it relates to sole source procurement.
7. Forward the Purchase Requisition (FI-82) along with a completed Sole Source request form (DP-5) to State Division of Purchasing for processing.

**Responsibility:** State Purchasing

8. In compliance with the Utah Procurement Code, and in conjunction with the Department of Transportation needs, procure items listed on the Purchase Requisition (FI-82). Distribute Purchase Order to Vendor and appropriate copies to the Transportation Department Procurement Section.

**Responsibility:** Procurement Section

9. Review the Purchase Order for completeness and accuracy, and forward the receiving information to the District/Division.



# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

**Responsibility:** District/Region/Division/Section/Unit

10. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
11. Sign, date and forward all the receiving documentation to the Procurement Section.

**Responsibility:** Procurement Section

12. Review the receiving information for accuracy and completeness and forward to the Comptroller's Office for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

## **Emergency Purchases**

**UDOT 05E-1.7**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine that an emergency situation exists. (NOTE: The Utah Procurement Code defines an emergency as “a situation which creates a threat to public health, welfare, or safety . . .” and “Emergency Procurement shall be limited to only those supplies, services, or construction items necessary to meet the emergency.”)
2. Determine the quantity and specification of the commodity or service needed.
3. Determine if adequate funding is available.
4. For purchases less than \$500, obtain the commodity or service from the best source.
5. For purchases between \$500 - \$2000 obtain two quotations and purchase from the low bid meeting specifications. Where two quotations are not possible, contact the Procurement Section.
6. For purchases over \$2000, contact the Procurement Section for assistance to comply with the Utah Procurement Regulations.

**Responsibility:** Procurement Section

7. For purchases of \$500-\$4,000, evaluate the emergency request for compliance to the Utah Procurement regulations. If appropriate, provide the District/Division with an approval number.
8. For purchases over \$4,000, evaluate the emergency request for compliance to the Utah Procurement regulations. If appropriate, contact State Purchasing for approval and a purchase order.

**Responsibility:** State Purchasing

9. Evaluate the emergency request for compliance to the Utah Procurement Regulations. If appropriate, work with Department Procurement and District/Division to satisfy needs.
10. Provide the vendor with a verbal purchase order number.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

**Responsibility:** District/Region/Division/Section/Unit

11. If over \$4000 prepare a Purchase Requisition (FI-82) form and submit with required specifications and emergency justification information to the Department Procurement Section. For purchases under \$4000, proceed to step 16.

**Responsibility:** Procurement Section

12. Review the Purchase Requisition (FI-82) for completeness, accuracy, correct commodity code usage, correct accounting information, required approval signatures, and for compliance to the Utah Procurement Code as it relates to emergency procurement.
13. Forward the Purchase Requisition (FI-82) to State Division of Purchasing for processing noting it is a confirming order, and attach emergency justification.

**Responsibility:** State Purchasing

14. Review the requisition and emergency justification for compliance to the Utah Procurement Code. Distribute Purchase Order to Vendor and appropriate copies to the Transportation Department Procurement Section.

**Responsibility:** Procurement Section

15. Review the Purchase Order for completeness and accuracy, and forward the receiving information to the District/Division.

**Responsibility:** District/Region/Division/Section/Unit

16. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
17. Sign, date and forward all the receiving documentation to the Procurement Section.

**Responsibility:** Procurement Section

18. Review the receiving information for accuracy and completeness and forward to the Comptroller's Office for payment.

**Data Processing Purchases**

**UDOT 05E-1.8**

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

(SUPPLY ITEMS)

**Responsibility:** District/Region/Division/Section/Unit

## **Actions**

1. For DATA PROCESSING SUPPLIES, determines the quantity and specification for the items needed.

NOTE: DATA PROCESSING SUPPLIES ARE ITEMS SUCH AS FLOPPY DISKS, PAPER, RIBBONS, TONER, SURGE PROTECTORS, AND MISCELLANEOUS COMPUTER ACCESSORIES. HARDWARE, SOFTWARE, FLOPPY DRIVES OR COMPUTER MAINTENANCE SERVICES ARE NOT CONSIDERED DATA PROCESSING SUPPLIES.

2. Determine if adequate funding is available.
3. Obtains the supply from the best source.
4. Upon receipt of the commodity, inspect the material to insure that all the specifications are met. Then attach the vendor's invoice to a Payment Voucher (D1) and submit for payment.

(NON SUPPLY ITEMS)

**Responsibility:** District/Region/Division/Section/Unit

1. For Data Processing items not classified as supplies, determines the quantity and specification of the items needed.
2. Submit a request in memo form to the Information Systems Services Section stipulating the quantity, business need, perceived equipment need, and any know specifications.

**Responsibility:** Information System Services

3. Evaluate the request, verify funding, and obtain the necessary approvals.
4. For purchases totaling \$500 or less, obtain the commodity or service from the best source. Upon receipt of the commodity or service, attach the vendor's invoice to a Payment Voucher (D1) and submit to the Comptroller's Office for payment.
5. For purchases more than \$500, prepare an ISS Acquisition Request form and submit with required specifications and approvals to the Department Procurement Section.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

## **Responsibility:** Procurement Section

6. Review the ISS Acquisition Request for completeness, accuracy, correct accounting information, required approval signatures, (For capital Purchases, this includes budget approval, and UDOT DP Plan approval), and for compliance to the Utah Procurement Code.
7. For purchases on state or agency contracts, process according to State and Department Rules and Regulations for contract purchases.
8. For purchases less than \$2,000 not on contract, purchase the item in compliance to the Utah Procurement Code.
9. For purchases over \$2,000, prepare a Purchase Requisition (FI-82), obtain the appropriate approvals, and forward to State Division of Purchasing for processing.

## **Responsibility:** State Purchasing

10. In compliance with the Utah Procurement Code. And in conjunction with the Department of Transportation needs, procure items listed on the Purchase Requisition (FI-82). Distribute Purchase Order to Vendor and appropriate copies to the Department of Transportation Procurement Section.

## **Responsibility:** Procurement Section

11. Review the Purchase Order for completeness and accuracy, and forward the receiving information to the Information Systems Services Section.

## **Responsibility:** Information Systems Services

12. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
13. Sign, date and forward all the receiving documentation to the Procurement Section.
14. Distribute the items to the requesting District/Division.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

**Responsibility:** Procurement Section

15. Review the receiving information for accuracy and completeness and forward to the Comptroller's Office for payment.

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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---

## **Capital Outlay Purchases**

**UDOT 05E-1.9**

**Responsibility:** District/Region/Division/Section/Unit

### **Actions**

1. Determine capital outlay expenditures need, and submits budget request with budget requests for other expenditures to the Budget and Accounting Officer in the Comptroller's Office.

(NOTE: FOR PURCHASES OF HEAVY EQUIPMENT, VEHICLES, OR DATA PROCESSING CAPITAL PURCHASES, REQUESTS MUST BE SUBMITTED TO THE MAINTENANCE DIVISION OR INFORMATION SYSTEM SERVICES DIVISION, RESPECTIVELY.)

**Responsibility:** Budget and Accounting Officer

2. Compiles budget request for the Department from District/Division requests. Submits budget to the Legislature for approval. Upon approval, sends approval budget to District/Division. NOTE: STATE LEVEL APPROVAL IS REQUIRED FOR CAPITAL OUTLAY PURCHASES LISTED BELOW:
  - A. Vehicles
  - B. Data Processing Equipment over \$2,000
  - C. Telecommunications Equipment over \$2,000
  - D. Printing Equipment

**Responsibility:** District/Region/Division/Section/Unit

3. For purchases from an approved work plan, submits a completed Form R43C "Request for Capital Outlay Purchase," completed Purchase Requisition (FI-82) and required specifications to the Budget Office for approval.
4. For purchases requiring a budget change, submits a completed Form R-68 "Request for Budget Change for Capital Purchases" with the R43C, FI-82, and specifications to the Budget Office for approval.

**Responsibility:** Budget Officer

5. For purchases from an approved work plan, verifies funds are available according to the plan and forwards to Group Leader for approval.
6. For purchase requests not under an approved work plan, forwards the request to the

# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

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Revised: 08/12/96

---

Executive Director for review.

**Responsibility:** Executive Director/Group Leader

7. Reviews the request, approves or disapproves, and for purchases from an approved work plan, returns the R43C and accompanying documents to the requesting District/Division. For requests requiring a budget change, returns the R-68 and accompanying documents to Budget Office.

**Responsibility:** Budget Office

8. Records approved budget changes and forwards to the requesting District/Division.

**Responsibility:** District/Region/Division/Section/Unit

9. Prepare a Purchase Requisition (FI-82) form, obtain the appropriate approvals (for capital purchases, this includes budget approval, and the required State level approval), and submits with the required specifications to the Department Procurement Section.

**Responsibility:** Procurement Section

10. Review the Purchase Requisition (FI-82) for completeness, accuracy, correct commodity code usage, correct accounting information, required approval signatures, and for compliance to the Utah Procurement Code.
11. Forward the Purchase Requisition (FI-82) to State Division of Purchasing for processing.

**Responsibility:** State Purchasing

12. In compliance with the Utah Procurement Code, and in conjunction with the Department of Transportation needs, procure items listed on the Purchase Requisition (FI-82). Distribute Purchase Order to Vendor and appropriate copies to the Transportation Department Procurement Section.

**Responsibility:** Procurement Section

13. Review the Purchase Order for completeness and accuracy, and forward the receiving information to the District/Division.

**Responsibility:** District/Region/Division/Section/Unit



# **PURCHASE AND RECEIPT OF EQUIPMENT, SUPPLIES AND SERVICES**

**UDOT 05E-1**

Effective: 08/12/96

Revised: 08/12/96

---

14. Upon receipt of the commodity or service, inspect the material or service to insure that all the specifications are met.
15. Sign, date and forward all the receiving documentation to the Procurement section.

**Responsibility:** Procurement Section

16. Review the receiving information for accuracy and completeness and forward to the Comptroller's Office for payment.